

PATENT
Docket No. 359872000821

#15 1/2

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Assistant Commissioner for Patents, Washington, D.C. 20231, on December 6, 2000.


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Gilles H. TAPOLSKY and David W.
OSBORNE

Serial No.: 09/069,703

Filing Date: April 29, 1998

For: PHARMACEUTICAL CARRIER
DEVICE SUITABLE FOR DELIVERY
OF PHARMACEUTICAL
COMPOUNDS TO MUCOSAL
SURFACES

Examiner: E. Webman

Group Art Unit: 1617

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

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This Information Disclosure Statement is submitted:

- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☒ A fee is required. A check in the amount of \$180.00 is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee. An authorization to charge our deposit account, and a Certification under 37 C.F.R. § 1.97(e) are provided herein.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the Patent Office determines that an extension and/or other relief is required, applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing

359872000821. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: December 6, 2000

Respectfully submitted,

By: Catherine J. Kara
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Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 359872000821

Application Number 09/069,703

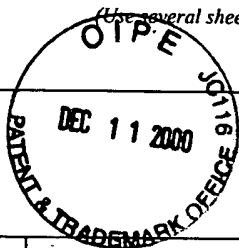
Applicant

Gilles H. TAPOLSKY and David W. OSBORNE

Filing Date April 29, 1998

Group Art Unit 1617

Mailing Date: December 6, 2000



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U.S. PATENT DOCUMENTS

| Examiner Initials | Ref. No. | Date | Document No. | Name | Class | Subclass | Filing Date If Appropriate |
|-------------------|----------|------------|--------------|-----------------------|-------|----------|----------------------------|
| | 1. | 07/05/1988 | 4,755,386 | Hsiao et al. | | | |
| | 2. | 08/16/1988 | 4,764,378 | Keith et al. | | | |
| | 3. | 10/19/1993 | 5,254,346 | Tucker et al. | | | |
| | 4. | 09/13/1994 | 5,346,701 | Heiber et al. | | | |
| | 5. | 05/14/1996 | 5,516,523 | Heiber et al. | | | |
| | 6. | 03/03/1998 | 5,723,143 | Jacques et al. | | | |
| | 7. | 05/12/1998 | 5,750,136 | Scholz et al. | | | |
| | 8. | 05/04/1999 | 5,900,247 | Rault et al. | | | |
| | 9. | 11/16/1999 | 5,985,317 | Venkateshwaran et al. | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials | Ref. No. | Date | Document No. | Country | Class | Subclass | Translation YES NO |
|-------------------|----------|------------|------------------|---------------|-------|----------|--------------------|
| | 10. | 01/27/1965 | GB 981,372 | Great Britain | | | |
| | 11. | 09/01/1994 | WO 94/18925, A1 | WIPO | | | |
| | 12. | 11/23/1994 | EP 0 654 261, A1 | Europe | | | Abstract |

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

| Examiner Initials | Ref. No. | Title |
|-------------------|----------|-------|
| | | |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.